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Section \$ 43

PTO/SB/21 (08-00)

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/728,196
Filing Date	November 30, 2000
First Named Inventor	Ivan Chow, et al.
Group Art Unit	2152
Examiner Name	Not Yet Known
Attorney Docket Number	IDF 1422 (4000-00400)

Total Number of Pages in this Submission

20

## ENCLOSURES (check all that apply)

- |  |  |  |
|--|--|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><input checked="" type="checkbox"/> Fee Attached<br><br><input type="checkbox"/> Amendment/Response<br><br><input type="checkbox"/> After Final<br><br><input type="checkbox"/> Affidavits/declaration(s)<br><br><input checked="" type="checkbox"/> Extension of Time Request<br><br><input type="checkbox"/> Express Abandonment Request<br><br><input type="checkbox"/> Information Disclosure Statement<br><br><input type="checkbox"/> Certified Copy of Priority Documents<br><br><input type="checkbox"/> Response to Missing Parts/<br>Incomplete Application<br><br><input checked="" type="checkbox"/> Response to Missing Parts<br>under 37 CFR 1.52 or<br>1.53 | <input checked="" type="checkbox"/> Assignment Papers<br>(for an Application)<br><br><input checked="" type="checkbox"/> Drawing(s)<br><br><input type="checkbox"/> Licensing-related Papers<br><br><input type="checkbox"/> Petition<br><br><input type="checkbox"/> Petition to Convert to a Provisional<br>Application<br><br><input type="checkbox"/> Power of Attorney, Revocation<br>Change of Correspondence Address<br><br><input type="checkbox"/> Terminal Disclaimer<br><br><input type="checkbox"/> Request for Refund<br><br><input type="checkbox"/> CD, Number of CD(s) _____ | <input type="checkbox"/> After Allowance<br>Communication to Group<br><br><input type="checkbox"/> Appeal Communication to<br>Board of Appeals and<br>Interferences<br><br><input type="checkbox"/> Appeal Communication to<br>Group<br>(Appeal Notice, Brief, Reply Brief)<br><br><input type="checkbox"/> Proprietary Information<br><br><input type="checkbox"/> Status Letter<br><br><input checked="" type="checkbox"/> Additional Enclosure(s)<br>(please identify below):<br>Copy of Notice to File Missing Parts;<br>Declarations and Power of Attorney;<br>Acknowledgement Postcard |
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## REMARKS:

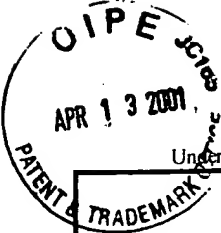
## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual Name	Michael W. Piper, Registration No. 39,800 CONLEY, ROSE & TAYON, P. C.		
Signature	<i>Michael W. Piper</i>		
Date	April 10, 2001		

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:  
Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: April 10, 2001.

Type or printed name	Teresa Ryan		
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<b>FEE TRANSMITTAL FY 2000</b> Patent fees are subject to annual revision.		<b>Complete if Known</b>	
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TOTAL AMOUNT OF PAYMENT	<b>(\$ 170.00)</b>	Attorney Docket Number	<b>IDF 1422 (4000-400)</b>

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)																																																																																																																																																																																					
<p>1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:</p> <p>Deposit Account No.: 21-0765 Deposit Account Name: Sprint</p> <p><input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p>2. <input type="checkbox"/> Payment Enclosed: <input type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other</p>		<p>3. 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<b>SUBMITTED BY</b>				<b>Complete (if applicable)</b>	
Typed or Printed Name		Michael W. Piper		Registration Number	39,800
Signature		<i>Michael W. Piper</i>		Date	April 10, 2001
				Deposit Account User ID	



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<p>1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:</p> <p>Deposit Account No.: Deposit Account Name:</p> <p><input type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17</p> <p>2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Money Order <input type="checkbox"/> Other</p>		<p>3. 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Stmt.</td><td>\$</td></tr><tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td>\$</td></tr><tr><td>146</td><td>690</td><td>246</td><td>345</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td><td>\$</td></tr><tr><td>149</td><td>690</td><td>249</td><td>345</td><td>For each additional invention to be examined (37 CFR 1.129(b))</td><td>\$</td></tr><tr><td colspan="5">Other fee (specify) _____</td><td>\$</td></tr><tr><td colspan="5">Other fee (specify) _____</td><td>\$</td></tr><tr><td colspan="5">*Reduced by Basic Filing Fee Paid SUBTOTAL (3)</td><td>\$ 110.00</td></tr></tbody></table>		Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - late filing fee or oath	\$	127	50	227	25	Surcharge - late provisional filing fee or cover sheet	\$	139	130	139	130	Non-English specification	\$	147	2,520	147	2,520	For filing a request for reexam	\$	112	920*	112	920*	Requesting publication of SIR prior to Examiner action	\$	113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	\$	115	110	215	55	Extension for reply within 1st month	\$110.00	116	390	216	195	Extension for reply within 2nd month	\$	117	890	217	445	Extension to reply within 3rd month	\$	118	1,390	218	695	Extension to reply within 4th month	\$	128	1,890	228	945	Extension to reply within 5th month	\$	119	310	219	155	Notice of Appeal	\$	120	310	220	155	Filing a brief in support of an appeal	\$	121	270	221	135	Request for oral hearing	\$	138	1,510	138	1,510	Petition to institute a public use proceeding	\$	140	110	240	55	Petition to revive - unavoidable	\$	141	1,240	241	620	Petition to revive - unintentional	\$	142	1,210	242	605	Utility issue fee (or reissue)	\$	143	440	243	220	Design issue fee	\$	144	600	244	300	Plant issue fee	\$	122	130	122	130	Petitions to the Commissioner	\$	123	50	123	50	Petitions related to provisional apps.	\$	126	240	126	240	Submission of Information Dis. Stmt.	\$	581	40	581	40	Recording each patent assignment per property (times number of properties)	\$	146	690	246	345	Filing a submission after final rejection (37 CFR 1.129(a))	\$	149	690	249	345	For each additional invention to be examined (37 CFR 1.129(b))	\$	Other fee (specify) _____					\$	Other fee (specify) _____					\$	*Reduced by Basic Filing Fee Paid SUBTOTAL (3)					\$ 110.00
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SUBMITTED BY		Complete (if applicable)	
Typed or Printed Name	Michael W. Piper	Registration Number	39,800
Signature	<i>Michael W. Piper</i>	Date	April 10, 2001
		Deposit Account User ID	



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Ivan Chow, et al.

Serial No.: 09/728,196

Filed: November 30, 2000

For: Method and apparatus for  
implementing persistence in trader services  
associated with a computer system

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§  
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GROUP ART UNIT: 2152

EXAMINER: Not Yet Known

Box Missing Parts  
Commissioner for Patents  
Washington, D.C. 20231

I hereby certify that this correspondence is being  
deposited with the United States Postal Service with  
sufficient postage as first class mail, in an envelope  
addressed to: Box Missing Parts, Commissioner for  
Patents, Washington, D.C. 20231 on

April 10, 2001  
(Date of Deposit)

Teresa Ryan

**RESPONSE TO NOTICE TO FILE MISSING PARTS  
OF NONPROVISIONAL APPLICATION**

Atty. Dkt. No.: IDF 1422 (4000-00400)

Date: April 10, 2001

Sir:

Please find enclosed a copy of the Notice to File Missing Parts mailed January 30, 2001,  
along with the following:

1. Declaration and Powers of Attorney;
2. Petition and Fee for Extension of Time (37 C.F.R. 1.136(a)); and
3. Substitute drawings (five (5) sheets, Figs. 1 through 5).

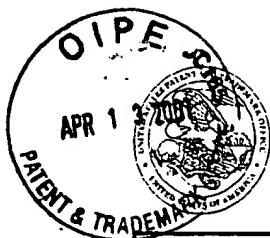
The Commissioner is hereby authorized to charge payment of any further fees associated with any of the foregoing papers submitted herewith, or to credit any overpayment thereof, to Deposit Account No. 21-0765, Sprint.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Michael W. Piper", is written over a horizontal line.

Michael W. Piper  
Reg. No. 39,800  
Conley, Rose & Tayon, P.C.  
5800 Granite Parkway, Suite 400  
Plano, Texas 75204  
(972) 731-2288

ATTORNEY FOR APPLICANT



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/728,196	11/30/2000	Ivan Chow	Sprint 1422 (4000-400)

CONFIRMATION NO. 3598

## FORMALITIES LETTER



\*OC000000005719762\*

Steven J. Funk  
Sprint Law Department  
8140 Ward Parkway  
Kansas City, MO 64114

Date Mailed: 01/30/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter:

05/29/2001 TV0111 00000022 210765 09728196

01 FC:105 130.00 CH

- The balance due by applicant is \$ 130.

The application is informal since it does not comply with the regulations for the reason(s) indicated below. Applicant is given TWO MONTHS from the date of this Notice within which to correct the informalities indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

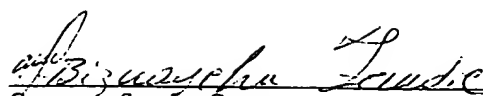
- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

Adjustment date: 05/29/2001 TV0111  
04/18/2001 ETULU1 00000066 210765 9728196  
01 FC:105 130.00 CH

A copy of this notice **MUST** be returned with the reply.

04/18/2001 ETULU1 00000066 210765 9728196

01 FC:105 130.00 CH

  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY